



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Community and Human Services /
Director's Office / Human Resources

**2. DEPARTMENT-DIVISION-
SECTION [DDS]**

DCHS-DR-(HR) / 150303

**3. TOTAL NUMBER OF
PAGES**

15

**4. DATE SUBMITTED
FOR APPROVAL**

September 9, 2017

5. STATUS

Final

6. VERSION

2

6. SCOPE AND DISCLAIMER

This retention schedule can only be used by the agency listed in section 1. It supersedes any other versions of retention schedules used by the agency and is effective as of the date listed in section 11 on the last page. This schedule is a comprehensive listing of all public records held by the agency and authorizes the destruction or archival transfer of those records as indicated. For guidance about records not listed, please contact the Records Management Program.

Public records covered by record series on this records retention schedule must be retained for the required retention periods as described on this schedule. Public records designated as Permanent or Archival must not be destroyed. Public records designated as Potentially Archival must be appraised by the King County Archivist before disposition. This records retention schedule is subject to revision due to changes to local, state or federal regulations.

Approved documentation is required before any records listed on this records retention schedule can be dispositioned (destroyed or transferred to the King County Archives). Records filed to and managed within the County's Records Management System will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the Records Management System must be documented on forms provided by the Records Management Program. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

Glossary

Cutoff: the trigger date on which the retention period *begins*. Until this occurs, the records are still considered active.

Retention: the length of time the records must be retained *after* the cutoff date

Disposition Action: the action that should be taken with the records after they have met their retention period

ESSENTIAL: records identified by the State as being essential to the operation of business and needed to continue operations in the event of an emergency.

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><u>Agency-Provided Training – General</u> Records documenting training courses, seminars and workshops provided by the local government agency to the public, customers, contractors, or agency employees where:</p> <ul style="list-style-type: none"> • Certificates/credentials/licenses are NOT awarded; and, • Continuing education hours/credits/points are NOT earned; and • Training is NOT required by federal, state or local statute or by employer. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered, etc.; • Attendee lists and sign-in sheets, test results, evaluations, etc. <p>Excludes: mandatory agency-provided training or employee training records retained in the employee’s personnel file that are required to maintain employment.</p>	<p>Cutoff: No longer needed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
2.	<p><u>Collective Bargaining Agreements – (Secondary)</u> Finalized labor agreements between County departments and employee unions.</p>	<p>Cutoff: Termination of agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>	Office Of Labor Relations	N/A	GS50-01-11R4(S)
3.	<p><u>Employee Complaints and Grievances</u> Records relating to complaints and grievances relating to workplace issues filed with the local government agency by its employees.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • Appeal hearings records of the local decision-making body covered by GS2011-173. • Civil rights violation complaints covered by GS50-04C-04. 	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Complaints and Grievances</p> <p>PER-08-001</p>	GS50-04E-03R2

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4.	<p>Employee Medical Records – General Records documenting the medical condition of employees (includes contractors and volunteers), their physical condition, the effects of workplace conditions on their health, and their physical ability to perform essential job functions. May also include ADA claims and accommodations demonstrating the agency’s compliance with Section 504 of the Rehabilitation Act of 1973, which requires that qualified individuals with disabilities have equal opportunity to benefits and services. Records may include applications, agreements, surveys, reports, notifications, meetings, communications, training materials, etc.</p> <p>Excludes hazardous materials exposure records covered by GS2011-177, Accidents/Incidents (Hazardous Materials) – Human Exposure.</p> <p>Note: Reference 29 CFR § 1910.1020(14)(d)(i) and WAC 296-802-20005. Health insurance claims records maintained separately from medical program records and records of first-aid treatment made on-site by a non-physician and filed separately from the employee medical records, are not required to be retained for 30 years after termination of employment, and thus are not considered part of this records series.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Medical Records</p> <p>PER-07-001</p>	GS2017-015

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5.	<p><u>Employee Misconduct Investigation Files - Founded</u> Documentation compiled in official investigations of employee misconduct that result findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes. Includes workplace violence case files.</p> <p>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</p> <p>Note: Retain records 6 years after last employee involved in investigation has left employment. Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Substantiated</p> <p>PER-08-005</p>	GS50-04B-46R3
6.	<p><u>Employee Misconduct Investigation Files - Unfounded</u> Documentation compiled in official investigations of employee misconduct that do not result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes. Includes workplace violence case files.</p> <p>Note: Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</p>	<p>Cutoff: Investigation closed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Unfounded</p> <p>PER-08-006</p>	GS50-04B-47R3

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7.	<p>Family Medical Leave Act (FMLA) Records Records pertaining to an employer’s obligations under FMLA in accordance with the recordkeeping requirements of the Fair Labor Standards Act (FLSA).</p> <p>Records may include but are not limited to:</p> <ul style="list-style-type: none"> • Basic payroll and identifying information (including name, address, and occupation) • Rate or basis of pay • Terms of compensation • Daily and weekly hours worked per pay period • Additions to or deductions from wages • Total compensation paid 	<p>Cutoff: End of year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Medical Records</p> <p>PER-07-001</p>	GS2017-015

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8.	<p>General Office Communications and Meetings Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of county business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc.)</p> <p>Records documenting meetings held by (and/or for) general staff of DCHS. May include staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications, solve problems, coordinate employee safety, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting packets, sign-in lists, meeting notices, etc.; • Minutes, audio/visual recordings, transcripts, etc. <p>Note: Information/advice published online by the agency continues to be "provided" until the date it is removed/withdrawn.</p>	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>

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9.	<p><u>Individual Employee Pay History – Non-Retirement Related</u></p> <p>Not used for verification of eligibility for retirement benefits.</p> <p>Note: the individual employee pay history records must be kept for 60 years if they are needed for verification of retirement eligibility (see Item 15).</p>	<p>Cutoff: End of year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	GS50-03E-15R1
10.	<p><u>Payroll Supporting Documents</u></p> <p>Records that are used to document the status of and adjustments to payroll accounts. Records are used to process payroll for each pay period and are not records about individual employees.</p>	<p>Cutoff: End of year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	GS50-03E-02R1

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11.	<p>Personnel File May include, but is not limited to:</p> <ul style="list-style-type: none"> • Application for employment when hired, start of employment, identification; • Citations, letters of recommendation; • Criminal history, background checks and investigations; • Employment status, position descriptions and job classifications, personal history cards, raises, etc.; • Evaluation of applications of recognition or non-college credit courses; • Training or certification records that are required for employment; • Oaths of office and bonds of officials (elected and appointed); • Retirement or disability resulting in employment termination; • Summary report of employee misconduct investigations (sustained only). <p><i>Note: Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</i></p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Personnel File PER-06-002</p>	GS50-04B-06R4
12.	<p>Policy Development Files Records that document the development of policies by DCHS Human Resources. Includes drafts, research, supporting documents, correspondence, etc.</p>	<p>Cutoff: Completion of project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Policy Development Files ACO-03-001</p>	GS50-01-39R1

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13.	<p>Project Files Records relating to agency projects where not covered by a more specific records series in King County General Retention Schedule or agency specific schedules.</p> <p>May include inventory sheets, correspondence, meeting records, substantive drafts, and additional supporting documentation.</p>	<p>Cutoff: Project completion</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files ACO-02-001</p>	GS50-01-39R1
14.	<p>Recruitment Files Documents recruitment and selection process for each advertised position, including newspaper announcement, job description, working papers/notes, applicant list, interview questions and notes, selection documents, and employee applications.</p> <p>The County’s NEOGOV online job application system retains employment applications for 3 years. Applications for individuals hired should be printed and retained in the employee’s personnel file. If the position is Civil Service exempt and/or the agency has chosen not to use the NEOGOV system, the agency is responsible for all applications collected and must retain them for the 3 year retention period.</p> <p><i>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints (injury to the rights of others) is 3 years.</i></p>	<p>Cutoff: End of year in which position is filled or termination of recruitment process</p> <p>Retention: 3 years</p>	<p>Disposition Action:</p>		<p>Recruitment Files PER-10-002</p>	GS50-04B-22R1

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15.	<p>Retirement Benefit Verification Records Records about individual employees that are needed for the long term verification of retirement benefit eligibility. Records document hours worked per month, compensation earned per month, hourly rate of pay and break in service dates. Includes documentation of any unpaid leave (including when it was taken and what type of leave it was) and documentation of lump sum payments (including when it was earned and what it was for).</p> <p>The records below are only needed for this retention period if they are prior to PeopleSoft implementation* or if the agency is not entering correct TRC and reason codes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Documentation of <i>unpaid leave</i> (when leave was taken and what kind of leave it was) • Hire letters • Individual time cards/time sheets • MSA corrections/turnaround documents (TADs) • Records (including spreadsheets) used to calculate furloughs • Letters/records documenting any payroll changes (including step increases, furloughs, COLAs, lump sum payments, overpayments, payroll-related settlements, special duty assignments, etc.) 	<p>Cutoff: Termination of employment</p> <p>Retention: 60 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	GS2017-009

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16.	<p>Supervisor's Working Files Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are only used to support the ongoing supervision of the employee and exclude records that belong in the official personnel file; that document misconduct investigations or corrective action; or that document employee complaints/grievances.</p> <p>Includes, but is not limited to: copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance <i>received</i> about ongoing issues relating to the employee; performance monitoring, etc.</p> <p>Excludes records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p>Excludes Doctor's notes or any other medical certification, workers compensation claim documents, including the supervisor's report on the injury, any formal or informal legal claim by or about the employee, the employee's i-9 form, any workplace investigation materials regarding the employee, background investigation reports, personality or other test results, any non-job related information/personal information about the employee, etc. These records should be transferred to the Human Resources Office rather than retained in the Supervisor's Working File.</p>	<p>Cutoff: No longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	<p>GS50-04B-31R1A*</p> <p>*This rule with an "A" extension was created to provide a potentially archival status for these records.</p>

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17.	<p>Temporary Agency Worker Accounts Tracks temporary agency workers hired using original request forms moved to individual departments.</p> <p><i>Note: Electronic Information NOT maintained in Access should be stored in ERMS. Access data may be stored in the database until the end of its retention period then purged.</i></p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Temporary Agency Workers</p> <p>PER-06-001</p>	GS50-04B-06R4

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18.	<p>Transitory Records Public records that only document information of temporary, short-term value, and provided that the records are not needed as evidence of a business transaction; and, not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency-Generated Forms and Publications – Copies (Copies of unused forms) • Brainstorming and Collaborating (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts) • Contact Information (external clients or stakeholders) • Drafting and Editing (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes) • Electronic documents when printed version is finalized with inked signature • General Information – External (FYI information received from external sources) • Unsolicited Materials/publications (Not requested nor used) • Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category, such as – “I am running late this morning” or “Come see me at my desk when you can”) • Internet Browsing History (cookies/cache/temp files on your computer) • Organizing/Monitoring Work In Progress (to-do lists; working notes; status logs) • Records Documented as Part of More Formalized Records (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses) • Reference Materials (gathered from external sources which do not provide evidence of agency work) • Scheduling of Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: when no longer needed</p> <p>Retention: none</p>	<p>Disposition Action: Not Archival - Destroy</p>		N/A	<p>Refer to section 12.0 of King County General Records Retention Schedule for a complete list of DANs in this series.</p> <p>Note: destruction documentation is not required for Transitory Records.</p>

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19.	<p><u>Whistleblower Investigation Reports</u> Agency copies of investigations of allegations of fraud or violations of state laws or regulations. Also includes documentation of investigations into alleged retaliation against individuals making such allegations.</p>	<p>Cutoff: Case closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Whistleblower Investigation Reports</p> <p>PER-08-008</p>	<p>GS50-04E-03R2A*</p> <p>*This rule with an “A” extension was created to provide a potentially archival status for these records.</p>

8. RECORDS AND INFORMATION MANAGER SIGNATURE

I hereby certify that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4, and I ensure the accuracy of this schedule.

Gail Snow 9/7/2017

Gail Snow Date

9. COUNTY ARCHIVIST SIGNATURE

I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.

Carol Shenk 9/08/2017

Carol Shenk Date

10. AGENCY MANAGER SIGNATURE

I certify that I have read and understood these records retention requirements and agree to implement the records retention schedule for all records and information within the scope of my responsibility.

Elizabeth Causby-Miles 9-7-2017

Elizabeth Causby-Miles Date

PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT

11. PRC APPROVAL

Deborah Kennedy 9/20/2017

Deborah Kennedy Date
King County Public Records Committee